



# SAM Exclusions Extract User Guide – v2.0

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## 1 What is the SAM Exclusions Extract?

The SAM Exclusions extract contains a list of all currently active exclusions in SAM. These include exclusions for Individuals, Firms, Special Entity Designations and Vessels:

- Individual - A person without a valid D&B Data Universal Numbering System (DUNS) number.
- Firm - A company with a valid D&B Data Universal Numbering System (DUNS) number.
- Special Entity Designation - Any entity that is not a Vessel, Individual or Firm.
- Vessel - A mode of transportation capable of transport by water.

SAM publishes the Exclusion extract every day from Sunday to Saturday. The new extract contains a complete dump of active exclusions as of the previous day. For example, the SAM Exclusion extract for Tuesday September 29, 2015 will display all active exclusions as of 11:59PM EST on Monday September 28, 2015.

Please note that older versions of Microsoft Excel cannot load more than 65,536 rows from a CSV file. If you have Microsoft Excel version 2007 or higher, you should be able to load the complete file. If you encounter this limitation, and do not need the complete file, you can use SAM's Search functionality to filter to a smaller subset of data and export the results.

## 2 How do I download the SAM Exclusions extract?

The SAM Exclusions extract can be downloaded by any user even if they do not have a SAM account. The extract is public and does not contain any Sensitive Personal Information. To download the extract, click the “DATA ACCESS” link from the menu bar on SAM:



This will take you to the “Public Extracts” page. Scroll to the bottom until you see Exclusions Extract Data Package as shown below:



Exclusions Extract Data Package	Data Package Information
<p><b>Data Access Role:</b> Public <b>Format:</b> CSV <b>Description:</b> This data package contains the publicly available data for all active exclusion records entered by the Federal government identifying those parties excluded from receiving Federal contracts, certain subcontracts, and certain types of Federal financial and non-financial assistance and benefits. Users must read the exclusion record completely to understand how it impacts the excluded party. The links include the three-digit Julian date for easier identification of the most recent file. No special data access is needed to download this file.</p> <p><b>Warning:</b> Older versions of Microsoft Excel cannot load more than 65,536 rows from a CSV file. If you have Microsoft Excel version 2007 or higher, you should be able to load the complete file. If you encounter this limitation, and do not need the complete file, you can use SAM's Search functionality to filter to a smaller subset of data and export the results.</p>	Descriptions
<p><b>Complete File - Last 7 Days</b> <a href="#">Exclusions 165</a>   <a href="#">Exclusions 166</a>   <a href="#">Exclusions 167</a>   <a href="#">Exclusions 168</a>   <a href="#">Exclusions 169</a>   <a href="#">Exclusions 170</a>   <a href="#">Exclusions 171</a>  </p>	

SAM provides the previous 7 days of files on the website. The full archive of SAM Exclusions extracts is available on the SAM production SFTP site.



### 3 What data is in the SAM Exclusions Extract?

The following is a list of the data elements in the SAM Exclusions extract:

Column Order	Column Header	Data Element Description	Max Length
1	Classification	Identifies the exclusion Classification Type as either a Firm, Individual, Special Entity Designation, or Vessel.	50
2	Name	The name of the entity being excluded (not applicable for Individual exclusions).	200
3	Prefix	The prefix for the actual name of a person being excluded (applicable for Individual exclusions only).	25
4	First	The first name for the actual name of a person being excluded (applicable for Individual exclusions only).	50
5	Middle	The middle name for the actual name of a person being excluded (applicable for Individual exclusions only).	50
6	Last	The last name for the actual name of a person being excluded (applicable for Individual exclusions only).	50
7	Suffix	The suffix for the actual name of a person being excluded (applicable for Individual exclusions only).	25
8	Address 1	The first line of the excluded entity's primary address.	150
9	Address 2	The second line of the excluded entity's primary address.	150
10	Address 3	Address line 3 of the exclusion's primary address.	150
11	Address 4	Address line 4 of the exclusion's primary address.	150
12	City	The City name of the excluded entity's primary address.	150
13	State / Province	The State or Province two-character abbreviation of the excluded entity's primary address.	150
14	Country	The Country for the excluded entity's primary address.	3
15	Zip Code	The ZIP or Postal Code for the excluded entity's primary address.	10
16	DUNS	The unique identifier of the excluded entity, currently the Data Universal Numbering System (DUNS) Number. Exclusion records with a Classification Type of Firm must have a DUNS Number. It may be found in exclusion records of other Classification Types if the Individual, Special Entity, or Vessel has a DUNS Number.	9
17	Exclusion Program	Identifies if the exclusion is Reciprocal, Nonreciprocal or Procurement. For any exclusion record created on or after August 25, 1995, the value will always be Reciprocal.	50
18	Excluding Agency	Identifies the Agency which created the exclusion.	25



Column Order	Column Header	Data Element Description	Max Length
19	CT Code	Identifies the legacy Excluded Parties List System (EPLS) Cause & Treatment (CT) Code associated with the exclusion. CT Codes were replaced by the Exclusion Type in SAM. Exclusions created after August 2012 will not have CT Codes. They will only have Exclusion Types.	16
20	Exclusion Type	Identifies the Exclusion Type for the record replacing the CT Code. Exclusion Type is a simplified, easier to understand way to identify why the entity is being excluded.	50
21	Additional Comments	This field provides the Agency creating the exclusion space to enter additional information as necessary.	4000
22	Active Date	Identifies the date the exclusion went active. Format: MM/DD/YYYY	10
23	Termination Date	Identifies the date the exclusion will be terminated. If "Indefinite" is in this field, there is no set date that the exclusion will terminate. Format: MM/DD/YYYY or Indefinite	10
24	Record Status	Identifies the record as being Active or Inactive. This extract only displays Active exclusion records, therefore this column is always blank. All records in the extract are Active.	50
25	Cross-Reference	Identifies other names/aliases with which the entity being excluded has been identified.	200
26	SAM Number	The internal number used by SAM to identify exclusion records. Since only Firm exclusion records are required to have a DUNS Number, SAM needed a way to uniquely track exclusion records of other Classification Types.	9
27	CAGE	The CAGE Code associated with the excluded entity. Mostly found on Firm exclusion records, but could be in other types if the Individual, Special Entity, or Vessel has a CAGE Code.	5
28	NPI	The National Provider Identifier (NPI) associated with the exclusion. Healthcare providers acquire their unique 10-digit NPIs from the Centers for Medicare & Medicaid Services (CMS) at the Department of Health & Human Services (HHS) to identify themselves in a standard way throughout their industry.	100



#### 4 How is the Exclusion Extract formatted?

The exclusion extract is formatted as seen below:

A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	U	V	W	X	Y	Z	AA	AB	
Classific	Name	Prefix	First	Middle	Last	Suffix	Address	Address	Address	Address	City	State / Pr	Country	Zip Code	DUNS	Exclusion	Excluding	CT Code	Exclusion	Addition	Active Date	Terminat	Record	SI	Cross-Re	SAM Num	CAGE	NPI
Individual			TRACEY		GASS						AMARILL	TX	USA	79102		Reciproci	HHS	Z1	Prohibiti	Excluded	11/20/2003						S4MR3MWKC	
Individual			TRACEY		GASS						AMARILL	TX	USA	79102		Reciproci	OPM	Z2	Prohibition/Restri		1/26/2004						S4MR3MWKC	
Individual			TRACEY	M.	GATES						HUNTING	CT	USA	6484		Reciproci	HHS	Z1	Prohibiti	Excluded	4/20/2000						S4MR3NB41	
Individual			TRACEY	M.	GATES						HUNTING	CT	USA	6484		Reciproci	OPM	R	Ineligible (Procee		8/11/2000						S4MR3NB41	
Individual			TRACEY		GRINNELL						LAWRENC	TN		38464		Reciproci	HHS	Z1	Prohibiti	Excluded	12/20/2012						S4MR479HJ	1234567890
Individual			TRACEY	U.	HARMON						PAWTUCK	RI	USA	2860		Reciproci	HHS	Z1	Prohibiti	Excluded	8/20/2001						S4MR3N4JV	
Individual			TRACEY	U.	HARMON						PAWTUCK	RI	USA	2860		Reciproci	OPM	R	Ineligible (Procee		10/11/2001						S4MR3N4JV	
Individual			TRACEY	LYNN	KECK						RIVERSID	CA	USA	92505		Reciproci	HHS	Z1	Prohibiti	Excluded	4/20/2000				(also TR/		S4MR3N6XT	
Individual			TRACEY	LYNN	KECK						RIVERSID	CA	USA	92505		Reciproci	OPM	R	Ineligible (Procee		8/14/2000				(also TR/		S4MR3N6XT	
Individual			TRACEY	O	LINDSEY						COLUMBL	OH	USA	43201		Reciproci	HHS	Z1	Prohibiti	Excluded	9/20/2009						S4MR3QVKC	1234567890
Individual			TRACEY	ELISABET	LISTER						LAKEWOC	CO	USA	80227		Reciproci	HHS	Z1	Prohibiti	Excluded	10/20/2008						S4MR3PV43	
Individual			TRACEY	ELISABET	LISTER						LAKEWOC	CO	USA	80227		Reciproci	OPM	Z2	Prohibition/Restri		12/15/2008						S4MR3PV43	
Individual			TRACEY	ANN	LIVINGSTON						GRACETO	PA	USA	15748		Reciproci	HHS	Z1	Prohibiti	Excluded	9/20/2011						S4MR3R1XC	
Individual			TRACEY	A.	LOCKLEAR						MAXTON	NC	USA	28364		Reciproci	HHS	Z1	Prohibiti	Excluded	3/18/2004						S4MR3QYM7	
Individual			TRACEY	A.	LOCKLEAR						MAXTON	NC	USA	28364		Reciproci	OPM	Z2	Prohibition/Restri		5/26/2004						S4MR3QYM7	

Parties may be excluded by multiple agencies at the same time. In the example below, notice that the exclusion in red has virtually identical information, including the same SAM number in both lines. The excluded party has two different agencies (HHS and OPM) each creating a separate exclusion for the same individual.

First	Middle	Last	Suffix	Address	Address	Address	Address	City	State	Country	Zip Co	DUNS	Exclus	Exclud	CT Cod	Exclus	Active Date	Termin	Record	Cross	SAM N	NPI	
JOSE	A.	MORALES						MIAMI	FL	USA	33183		NonProcu	HHS	Z	Prohibitic	9/8/1989				(also VELL	S4MR3QWKR	
JOSE	ALFREDO	MORALES						LOS ANGE	CA	USA	90006		Reciproca	OPM	Z2	Prohibitic	7/28/2004					S4MR3N4KJ	
JOSE	ALFREDO	MORALES						LOS ANGE	CA	USA	90006		Reciproca	HHS	Z1	Prohibitic	5/20/2004					S4MR3MT73	
JOSE	CABRERA	MORALES						TYLER	TX	USA	75702		Reciproca	DOJ	AA	Ineligible	11/19/2008	#####				S4MR3QSLH	
JOSE	ROLANDO	MORALES	JR.					BONHAM	TX		75418		Reciproca	DOJ	AA	Ineligible	8/8/2013	#####				S4MR4BRGZ	
JOSE	CARLOS	MORALES						MIAMI	FL		33177		Reciproca	HHS	Z1	Prohibitic	11/20/2013					S4MR4C7H7	
JOSE	CARLOS	MORALES						MIAMI	FL		33177		Reciproca	OPM	Z2	Prohibitic	12/27/2013					S4MR4C7H7	